



CITY OF COLLEGE STATION
FISCAL SERVICES

P.O. BOX 9960 1101 TEXAS AVENUE
COLLEGE STATION, TEXAS 77842
(409) 764-3552 Fax (409) 764-3899

BROKER/DEALER QUESTIONNAIRE AND CERTIFICATION

1. NAME OF FIRM: _____

ADDRESS: _____

TELEPHONE: _____

FAX: _____

2. PRIMARY REPRESENTATIVE/MANAGER/PARTNER-IN-CHARGE:

Primary Representative(s)

Name: _____

Name: _____

Title: _____

Title: _____

Tele. No.: _____

Tele. No.: _____

FAX No.: _____

FAX No.: _____

E-Mail: _____

E-Mail: _____

Manager/Partner-in-Charge

Name: _____

Name: _____

Title: _____

Title: _____

Tele. No.: _____

Tele.No.: _____

FAX No.: _____

FAX No.: _____

E-Mail: _____

E-Mail: _____

3. Are you a primary dealer in U.S. Government Securities?: ☐ Yes ☐ No

If yes, for how long has your firm been a primary dealer? ____ Yrs.

4. What was your firm's total volume in U.S. Government and Agency Securities last year?

Firmwide \$_____ # Transactions _____
(Securities purchase & sale only)

Local Office \$_____ # Transactions _____
(Including repurchase agreements)

5. Which instruments are offered regularly by your local desk?

☐ T-Bills ☐ Treasury Notes/Bonds ☐ Agencies (Specify)
☐ S & L CDs ☐ BAs (Domestic) ☐ BAs (Foreign)
☐ Bank CDs ☐ Instrumentality's ☐ Commercial Paper
☐ Other (Specify) _____

6. Identify the personnel who will be trading with or quoting securities to our government's employees:

Name/Title: _____
Tele. No.: _____
E-Mail No.: _____
CRD Number: _____
Number of years w/firm: _____

Name/Title: _____
Tele. No. _____
E-Mail No.: _____
CRD Number: _____
Number of years w/firm: _____

(Attach resumes of all the above persons.)

7. Have any of your clients ever sustained a loss on a securities transaction arising from a misunderstanding or misrepresentation of the risk characteristics of the instrument. (If yes, explain.)

8. Has your firm or any of your employees ever been subjected to a regulatory or state/federal agency investigation for alleged improper, fraudulent, disputable or unfair activities related to the sale of securities? (If yes, explain.)

9. How many and what percentage of your transactions failed:

Last Month? _____ % Last Year? _____ %

10. Please explain your normal custody and delivery process. Who audits these fiduciary systems?
11. Will you provide a faxed copy of the trade ticket, no later than one business day after the trade is made? The following information needs to be included:
 - a. Security Type and Cusip Number
 - b. Issue Date, Maturity Date, Settlement Date, Trade Date, Call Date, Pay Date
 - c. Risk Class, Risk Factor
 - d. Rating
 - e. Coupon Rate
 - f. Par Value and Price
12. Does your firm consistently comply with the Federal Reserve Bank's capital adequacy guidelines? By what factor (1.5x, 2x, etc.) does your firm presently exceed the capital adequacy guidelines measure of risk? Include certified documentation of your capital adequacy as measured by the Federal Reserve standards.
13. Please provide audited financial statements for the most current year and other indicators regarding your firm's capitalization.
14. Please provide the following: (Note: Do not answer with "see financial report" as that will be construed as an unanswered question.)
 - a. Debt/Equity _____
 - b. Assets (in Millions) _____
 - c. Net Capital (in Millions) _____
 - d. Vol. Of Security Transactions (in Millions) _____
 - e. Total Liabilities (in Millions) _____
 - f. Total Stockholders Equity (in Millions) _____
15. Are you representing a parent corporation or a subsidiary of another corporation? If yes, please furnish audited financial statements on your parent corporation as well as your subsidiary.
16. Describe the precautions taken by your firm to protect the interest of the public when dealing with government agencies as investors.
17. Provide a description of the Capital line and trading limits that support/limit the office that would conduct business with our government.
18. Attach a copy of your National Association of Securities Dealers Registration.
19. Attach a copy of your State of Texas Securities Commission Registration.
20. Do you participate in the S.I.P.C. insurance program? If not, explain:
21. Enclose a complete schedule of fees and charges for various transactions.
22. Do you give perfected security interest in securities under repurchase agreements?

23. Please identify (at least five for each trader you include in this questionnaire and certification) your most directly comparable public sector clients preferably in our geographical area.

Entity/Contact Person/Telephone/Client Since

24. I hereby certify that I have personally read the City of College Station's Investment Policy and the statutes of the State of Texas pertaining to the investments of municipal funds and agree to comply with both. We have implemented reasonable procedures and a system of controls designed to preclude imprudent investment activities arising out of transactions conducted between our firm and municipal clients. All sales personnel will be routinely informed of your investment objectives, horizon, outlook, strategies and risk constraints whenever we are so advised. We pledge to exercise due diligence in informing you of all foreseeable risks associated with financial transactions conducted with our firm. I attest to the accuracy of our responses to your questionnaire.

Signed:_____ Date:_____

Signed:_____ Date:_____

Signed:_____ Date:_____

Countersigned:_____ Date:_____

(Company president or person in charge of government securities operations.)

Broker/Dealer's are evaluated by the answers given on this questionnaire. Be sure to complete each question to your fullest ability and return the request by the due date in order for your company to be considered. If a question does not apply to your organization, please place an "N/A" as your answer, so that it is not left blank.